

<b>REQUEST FOR RECORDS DISPOSITION AUTHORITY</b> (See Instructions on reverse)		LEAVE BLANK (NARA) use only	
TO NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER	N1- 434-98-28
1 FROM (Agency or establishment) Department of Energy		DATE RECEIVED	7-15-98
2 MAJOR SUBDIVISION		NOTIFICATION TO AGENCY  In accordance with the previous provisions of 44 U S C 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10	
3 MINOR SUBDIVISION			
4 NAME OF PERSON WITH WHOM TO CONFER John E. Davenport	5 TELEPHONE 301-903-4726	DATE	ARCHIVIST OF THE UNITED STATES 5-19-00 <i>John W. Paul</i>

<b>6 AGENCY CERTIFICATION</b> I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached <u>57</u> page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,		
<input checked="" type="checkbox"/> is not required, <input type="checkbox"/> is attached, or <input type="checkbox"/> has been requested		
DATE 7/9/98	SIGNATURE OF AGENCY REPRESENTATIVE <i>John E. Davenport</i>	TITLE Departmental Records Officer

7 ITEM NO	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS OR SUPERSEDED JOB CITATION	10 ACTION TAKEN (NARA USE ONLY)
	DOE Records Schedule for Environmental Records  See attached		

# DOE RECORDS SCHEDULE FOR ENVIRONMENTAL RECORDS

March 1999

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## LIST OF TERMS

ALARA	as low as reasonably achievable
CAA	Clean Air Act
CEQ	Council on Environmental Quality
CERCLA	Comprehensive Environmental Response, Compensation, and Liability Act
CFR	Code of Federal Regulations
CX	categorical exclusion
DOE	U.S. Department of Energy
EA	environmental assessment
ECL	environmental checklist
EIS	environmental impact statement
EPA	U.S. Environmental Protection Agency
EPCRA	Emergency Planning and Community Right-To-Know Act of 1986
FFA&CO	Federal Facility Agreement & Consent Order
FRC	Federal Records Center
HEPA	high-efficiency particulate air
IB	information bulletin
MSDS	material safety data sheet
NAAQS	National Ambient Air Quality Standards Program
NARA	National Archives and Records Administration
NEPA	National Environmental Policy Act
NESHAP	National Emission Standards for Hazardous Air Pollutants
NIOSH	National Institute of Occupational Safety and Health
NOI	Notice of Intent
NPDES	National Pollutant Discharge Elimination System
OSHA	Occupational Safety and Health Administration
PCB	polychlorinated biphenyl
RCRA	Resource Conservation and Recovery Act of 1976
RI/FS	remedial investigation/feasibility study
ROD	record of decision
SA	supplemental analysis
SAR	safety analysis report
SARA	Superfund Amendment and Reauthorization Act of 1986
SDWA	Safe Drinking Water Act
SPCC	spill prevention control and counter-measures
TRU	transuranic
TSR	technical safety requirement
USC	United States Code
UST	underground storage tank
VOC	volatile organic compound



# **DOE RECORDS SCHEDULE FOR ENVIRONMENTAL RECORDS**

## **INTRODUCTION**

This schedule provides for the disposition of U.S. Department of Energy (DOE) records created to comply with or needed to support compliance with Federal environmental laws and implementing regulations. The laws and implementing regulations encompass, but are not limited to Resource Conservation and Recovery Act of 1976 (RCRA), Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), Clean Air Act (CAA), Clean Water Act, Soil and Water Resources Conservation Act of 1977, United States Code (USC) Code of Federal Regulations (CFR), and National Environmental Policy Act (NEPA) requirements, as well as other regulatory requirements. When regulatory citations have been provided, they are referenced.

This schedule applies to all applicable records, regardless of format/media. When media changes are planned, special care should be taken to transfer information to media that can meet the specified retention. This becomes particularly important since electronic information technology changes rapidly. If electronic records need to be retained permanently, they should be in a format currently approved by the National Archives and Records Administration (NARA).

If records identified in this schedule are already in the existing DOE Record Schedules, a cross reference has been provided.

Because this schedule is intended to have a broad use within the DOE complex, state or local regulations have not been taken into account here. If any regulation requires a longer retention, the record should be kept to meet the longer term requirement. By their nature, environmental records may have significant legal or public interest aspects. After the environmental records have met their scheduled retention, a review of these records should be made for continued need. Each site should establish a review team composed of members who understand the records under evaluation and/or the records management function of the organization. The team should include the agency's Records Manager, Archivist, or Historian, Project Manager, current records holders, and/or subject matter experts. Ideally, the evaluation process would begin with an assessment of records written by the Project Manager during or shortly after the close of a project. This provides a basis for the review team to use in their subsequent evaluation of the project.

For the intent of this schedule the definition for "life of facility" is the period from the initial receipt of hazardous waste at the facility until documented closure. Facility may be defined as a tank, a building, a waste site, or a laboratory.

The primary focus of this schedule is the retention and disposition of records of those activities that may affect the physical environment. The records covered by this schedule document the results of sampling and analysis, monitoring, permitting and disposal and cleanup activities affecting the physical environment. Environmental records include, but are not limited



to, the administrative record (as defined/required by CERCLA/RCRA and other dangerous waste programs), permits, reports, studies, evaluations, characterizations, logbooks of various kinds, as well as more obvious burial or storage records, closure plans, and waste management documentation. Other issues such as, medical, health and safety concerns emanating from these activities, but not specifically required by environmental regulations, will not be addressed in this schedule.

These records may be organized and maintained as project case files to provide a more useful reference/retrievability or as individual record series. The project case file approach provides a reasonable record of an environmental project from start to finish which would allow for reconstruction or verification of relevant procedures and analyses (see Section 1.k).

Records covered by this schedule are grouped into the following six categories:

- Administration
- Monitoring
- Regulatory Compliance
- Sampling and Analysis
- Permitting
- Disposal/Cleanup

There are overlaps between the identified six categories where records may fit into more than one category. The predominant activity should be taken into consideration when scheduling records.

## 1. ADMINISTRATION

Environmental administration records include program or project management records, reports, and records documenting protection and preservation of natural resources.

### Description of Records

### Disposition

#### a. Administrative Record

Records documenting the basis for selecting a CERCLA response action/remediation action, RCRA permit/permit modification/or closure plan action by the U.S. Environmental Protection Agency (EPA), the DOE, state agencies, the public, or other interested parties. These files contain historical data on the identification and remediation alternative of waste sites. The Administrative Record also includes documents which demonstrate the public's opportunity to participate in and comment on the selection of the remedial action.

Destroy 75 years after the termination of the applicable FFA&CO. DOE shall notify the EPA at least 90 calendar days prior to the destruction of these records, and upon request by the EPA, DOE shall relinquish custody of the records or copies of the records to the EPA.

Documents may include, but are not limited to, remedial investigation/feasibility study (RI/FS) work plan, guidance documents, proposed plan, public notices, record of decision (ROD), explanation of significant differences, permit application, corrective measures study report, interim response action proposal, applicable NEPA documentation, and all other decision documents available for public comment and use.

#### b. Safety and Health Records

##### (1) Emergency Response/Contingency Plans

Emergency response plans identify environmental and safety hazards at a facility and surrounding areas. These plans should coordinate state, federal, and local governments, Native Americans, and other emergency personnel's responses to those hazards.

Destroy 3 years after issuance of a new plan.

## Description of Records

## Disposition

Records include, but are not limited to: operational plans, contingency plans, prevention plans, emergency procedures, compliance to regulatory requirements for emergency situations, site maps, release forms, correspondence, and other related records.

NOTE: One record copy of each plan or directive, along with assessment/audit changes to the documentation, must be kept with the agency's set of master directive files for the emergency plan. (See GRS 18, Item 27.)

- |     |                                                             |                                                                                                                                  |
|-----|-------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------|
| (2) | Tier Two Emergency and Hazardous Chemical Inventory Reports | Destroy after 3 years of issuance of report. 40 CFR 372.10                                                                       |
| (3) | Toxic Chemical Release Inventory Report                     | Destroy after 3 years of issuance of report. 40 CFR 372.10                                                                       |
| (4) | Safety Analysis Reports                                     | Retire to Federal Records Center (FRC) 10 years after issuance of report; destroy 25 years after issuance of report. DOE 5480.22 |
- Withdrown*  
*See 4-19-00 letter*  
*2182*

## Description of Records

## Disposition

Records include document reviews of current and potential risks involved before work proceeds, individual safety analysis that pertains to specific activities related to the SAR, and Technical Safety Requirements (TSRs) which is specific standards or regulations that pertain to the activity, site characteristics, facility descriptions, safety designs, facility hazard analysis and classification, health and safety criteria, analysis of operation, institutional safety provisions, emergency preparedness, and other related subjects.

(5) Safety and Health CERCLA/RCRA Documents

Records associated with Safety and Health related documentation required by CERCLA/RCRA, other than CERCLA-funded cooperative agreements.

- |                                                                                                                                                                                                                                                                                                            |                                                          |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------|
| (a) Records which notify or support worker protection and safety including but not limited to safety incident, safety analysis, safety meetings, safety awards, and safety assessments.                                                                                                                    | Destroy after 5 years.<br>29 CFR 1910.120                |
| (b) Occupational Safety and Health Administration (OSHA) records, National Institute of Occupational Safety and Health (NIOSH) records, hazard and accident analysis records, Criticality Safety Analysis/Approval records, Health Surveillance Program records, other specific Safety and Health records. | Destroy after 30 years.<br>29 CFR 1910.20                |
| (c) Dosimetry records on employees subject to ionizing radiation that are personally monitored.                                                                                                                                                                                                            | Destroy when 75 years old. See DRS 1.6, NCI-430-76-9-(4) |

## Description of Records

## Disposition

### **c. Archaeological Records**

Records resulting in activities conducted on lands owned in fee by Native Americans or held in trust by the United States for Native Americans.

Permanent. Cutoff annually. Transfer to NARA 25 years after cutoff, in 5 year blocks.

These records can include, but are not limited to; contracts, permits, agreements and related policies, procedures, protocols, or waivers; archaeological site locations, surveys of areas, correspondence, photographs, analysis, reports and findings, drawings, maps, ground surveys, excavation notes, cultural resources; and, site restoration plans, proposals, or other reclamation types of activity records.

### **d. Environmental Administration Reports**

Environmental, safety and health administrative program reports prepared, formulated, or consolidated in formally organized field office, contractor, or sub-contractor files that specify or document compliance, achievements, status, deliverables, progress or development of departments, programs, projects, organizations, etc.; that pertain to the mission or functions for which the field office, contractor, or subcontractor has primary oversight or responsibility; or that document opinions and decisions which set policy or precedent.

#### **(1) DOE Environmental/Safety Reports**

Reports relating to DOE-wide environmental, human health, employee and/or public safety and oversight reports.

Permanent. Cutoff when superseded, obsolete, or canceled. Transfer to NARA 25 years after cutoff.

**Description of Records**

**Disposition**

- |     |                                                                                                                                                                                                                                                                       |                                                                                                                                                                           |
|-----|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| (2) | DOE Field/Contractor Environmental/Safety Reports                                                                                                                                                                                                                     |                                                                                                                                                                           |
|     | Reports relating to field office, contractor or subcontractor environmental, human health, employee and/or public safety and oversight reports.                                                                                                                       | Cutoff when superseded, obsolete, or canceled. Destroy when 75 years old.                                                                                                 |
| (3) | Daily Reports                                                                                                                                                                                                                                                         |                                                                                                                                                                           |
|     | Reports relating to routine, daily business functions, recurring transactions, or activities associated with environmental, safety, and health operations.                                                                                                            | Cutoff when superseded, obsolete, or canceled. Destroy when 7 years old.                                                                                                  |
| (4) | Air Monitoring Reports                                                                                                                                                                                                                                                |                                                                                                                                                                           |
|     | These reports document the monitoring data for the purpose of determining if the level of hazardous, volatile organic compounds (VOC), visible air contaminants, and radionuclide airborne materials are being released by a site and at what concentrations.         | Retire to FRC after 25 years after issuance of report. Destroy after 75 years following issuance of report and with the approval from the Sites General Counsel's Office. |
|     | Records may include, but not be limited to, monitoring data from routine radiological and nonradiological environmental surveillance activities, and summary listings of the weekly sample including analytical results, detection limits and spike/blank recoveries. |                                                                                                                                                                           |



## **Description of Records**

## **Disposition**

- |     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                          |
|-----|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| (5) | National Emission Standards for Hazardous Air Pollutants (NESHAP) Annual Reports                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                                                                                          |
|     | <p>These reports documents program plans, regulatory drivers and emission inventory guidelines for air and pollution monitoring to ensure compliance. Records may include, but are not limited to, input parameter and modeling results for building ventilation stacks, stack/vent emission survey reports, emission sampling reports, type of chemical and amount emitted, reactor data, estimates of does to the population, notes, correspondence, fugitive source emission assessment, sample data for surface radioactivity, radionuclide type, location, sample range, standard deviation, reference, inventory and documentation source.</p> | <p>Retire to FRC 25 years after issuance of report. Destroy after 75 years following issuance of report and with the approval of the Sites General Counsel's Office.</p> |
| (6) | Air Emissions Permit Reports                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                                                                                                                          |
|     | <p>These reports documents effluent air monitoring activities as designated by EPA for permitted sources and equipment. The reports contain raw data to authenticate operational integrity.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                      | <p>Retire to FRC 25 years after issuance of report. Destroy 75 years after issuance of report and with the approval of the Sites General Counsel's Office.</p>           |
| (7) | Annual Background Study Reports                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                          |
|     | <p>These reports document the preliminary results of an approved background study used by the EPA, the state, and DOE to evaluate contamination releases. These studies are used to develop information on the uncontaminated conditions of a site. The data is compared with data from areas that might be contaminated. Records may include, but are not limited to, data acquisitions and related correspondence, description of data collection methods and technology, data logs, subcontractor memos, and analytical results.</p>                                                                                                              | <p>Retain on site and transfer to new owner.</p>                                                                                                                         |

**Description of Records**

**Disposition**

(8) Environmental Monitoring Reports

These reports document monitoring data from routine radiological and nonradiological environmental surveillance activities.

The report is created to document all the environmental activities completed at a site in order to be in full compliance with all applicable environmental laws and regulations. Records may include, but are not limited to: monitoring data, summary of meteorological data, permits, summary of analytical results, sample analysis of vegetation, soil, and water, and discussion of sampling procedures.

(a) Environmental monitoring reports provided to identify the progress on the environmental monitoring plans, or on other related subjects.

Destroy when 75 years old. Cutoff when reports are superseded, obsolete, or canceled.

(b) Environmental monitoring reports defining the extent and levels of radioactive contamination in soil or real estate.

Permanent. Transfer to NARA when no longer needed by the Department.

~~(9) Community Radiation Monitoring Program Reports~~

~~These reports document the cooperative effort of DOE, the DOE contractor site, and the surrounding communities in actively participating in an environmental surveillance program. Records may include, but are not limited to: list of participants, monitoring data, weather and external gamma radiation data, environmental thermoluminescent dosimeter measurement data, glossary, and distribution list.~~

~~Destroy 5 years after issuance of report.~~

*Withdrawn  
see 4-14-00 letter*

Description of Records	Disposition
(10) Waste Management Reports	
These reports documenting waste management activities, other than CERCLA-funded cooperative agreements.	
(a) Hazardous waste reports, hazardous substance reports, waste characterization reports, CERCLA/RCRA unit reports.	Permanent. Cutoff when waste is disposed of. Transfer to NARA 25 years after cutoff.
(b) Waste minimization/prevention reports, waste reduction reports, waste disposal reports.	Destroy 150 years after issuance of report.
(c) Required compliance reports, dumpster violations, dangerous waste reports, decay heat reports.	Destroy 5 years after final closure of facility.
(d) RCRA Biennial Reports	Destroy after 3 years. 40 CFR 265.75
(11) Reports of Noncompliance	
These reports document noncompliances not reported under occurrence reporting systems. Series may include logs, surveys, analyses, investigative notes, and briefings.	Destroy 5 years after issuance of report
(12) Quality Control Reports	
These reports document the quality control records for analytical laboratories.	Destroy 2 years after issuance of report.
(13) Program Reports	
Program, process, reduction and other detailed reports, to Federal, DOE-HQ/ Field Office, State, Local, contractor or subcontractor management, etc.	Retire to FRC in 25 years. Destroy after 75 years.

## Description of Records

## Disposition

### e. Logbooks

Logbooks/fieldbooks that document a chronological history which provides a summary of shift and daily activities related to program and functions. Logbooks may support calibration activities, problem resolution, sampling, monitoring, and reporting. Records may include, but are not limited to results, notes, drawings/sketches, and field information.

#### (1) Sample and Analysis Logbooks

Logbooks containing sample and analysis data.

gjs 1/6/2005  
Destroy when 75 years old, or after incorporation into reports or after data has been summarized, validated, verified, or accepted whichever is earlier.

#### (2) Hazardous Material Logbooks

Logbooks containing data relating to radiation, contamination, hazardous materials.

Destroy when 75 years old.

#### (3) Waste System Logbooks

Logbooks containing information related to radioactive or hazardous waste streams.

gjs 1/6/2005  
Destroy when 75 years old, or after incorporation into reports or after data has been summarized, validated, verified, or accepted whichever is earlier.

#### (4) Geology Logbooks

Logs and logbooks, such as geologist field logs, subcontractor geotechnical operations logbooks, soil and soil gas survey sampling field logs, and characterization logbooks.

## Description of Records

## Disposition

- |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                        |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| (a) Geologist field logs document field test bore holds, indicating the types of soils, gravels, cobbles, and sand that are found at the field test area. They give the sampler type and depth, inches/feet driven, inches recovered, sample condition, drilling rate, and other pertinent data. They contain field log boring forms and well development/ water monitoring data. Drilling/boring field logs are used to record geological data (such as the changes in soil or strata with depth), what projects are currently being worked on, and the time and results of routine environmental tasks. | Destroy when 75 years old <sup>1/6/2000</sup> <del>or after incorporation into reports or after data has been summarized, validated, verified, or accepted whichever is earlier.</del> |
| (b) Soil and soil gas survey sampling field logs document efforts to collect and analyze soil and soil gas samples for possible site remediation or restoration. Destroy when 75 years old.                                                                                                                                                                                                                                                                                                                                                                                                               | Destroy when 75 years old.                                                                                                                                                             |
| (c) Field logbooks containing pertinent soil monitoring calculations, observations, and interpretations of results.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Destroy when 75 years old <sup>1/6/2000</sup> <del>or after incorporation into reports or after data has been summarized, validated, verified, or accepted whichever is earlier.</del> |
| (d) Field logbooks of laboratory technicians and field inspectors concerned with earth sciences.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Destroy when 75 years old <sup>1/6/2000</sup> <del>or after incorporation into reports or after data has been summarized, validated, verified, or accepted whichever is earlier.</del> |
| (5) Daily Analysis Logbooks                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                        |
| Logbooks describing analyses daily activities of the laboratory.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Destroy when 5 years old.                                                                                                                                                              |

<u>Description of Records</u>	<u>Disposition</u>
(6) Operating Logbooks  Logbooks listing significant action, daily surveillances and maintenance activities occurring during normal operations of applicable facility.	Destroy when 75 years old.
(7) Equipment Testing and Development Logbooks  Logbooks documenting equipment testing and development.	Destroy after 5 years or after disposal or clearance of tool/equipment from project.
<b>f. Planning Records</b>	
(1) Environmental Monitoring Plan Records  These records document a framework of the scope and extent of both liquid and gaseous effluent measurements, and related surveillance programs during the active lifetime of operations. These records define the quality assurance control program to ensure that all samples are collected and that the resulting data will be able to calculate the effect to the environment and public health. Records may include, but are not limited to, parameters and concentrations, analysis, cover letter transmittal, compliance summaries, findings and concerns, effluent inventory, data management and calculations.	Cutoff when superseded, obsolete, or canceled <u>with approval of site owner</u> .



## Description of Records

## Disposition

### (2) Environmental Implementation Plan Records

These records document a framework which identifies the responsibilities for compliance management, direction, goals, and objectives with related strategies and timetables. These records are used to ensure that the facility is operated and managed in a manner that will protect, maintain and restore environmental quality and minimize potential threats to the environment and public health. These plans are submitted to the EPA for review, comment and approval.

Cutoff when superseded, obsolete, or canceled. Destroy when 5 years old with approval from site owner.

### (3) Waste Minimization and Pollution Prevention Implementation Plan Records

Records documenting the plan for implementing a Waste Minimization Program at DOE contractor sites. Information related to waste minimization is distributed to line organizations and selected groups to identify waste streams, and minimize or eliminate the toxicity and waste material at the site. Records may include, but are not limited to, correspondence, waste service center location, strategic planning, program changes, program accomplishments, findings, program support, distribution list and notes.

Cutoff when superseded, obsolete, or canceled. Destroy when 5 years old with approval from site owner.

### (4) Waste Stream Identification Plan Records

Records are used to manage or eliminate waste for pollution prevention requirements. Records may include, but are not limited to, project selection and guidance, position papers, baseline information, waste identification and concentration and waste generator reduction plans.

Cutoff when superseded, obsolete, or canceled. Destroy when 5 years old.

<u>Description of Records</u>	<u>Disposition</u>
(5) RCRA Interim Status Training Plan  These plans describe the types and amounts of training for each person at a facility.	Destroy 75 years after issuance.
(6) Sample and Analysis Plans  These are plans for sampling at former waste storage locations and other waste sites to identify potential contamination.	Destroy when analytical results are verified, accepted, and summarized, or until 5 years old whichever is earlier.
<b>g. Electronic Data Management Systems</b>	
(1) Geographic Information System	Retain on site. Destroy when no longer needed.
(2) Environmental Sites Databases  Contains source information and other data gathered from many types of environmental activities other than site surveillance/monitoring (e.g., groundwater and biota) for potential and established/documented environmental sites.	
(a) Input Source	Destroy when data is entered in database and validated.
(b) Output	File with appropriate series using an approved schedule.

<u>Description of Records</u>	<u>Disposition</u>
(c) Master File	For those site-specific systems deemed to have special historical significance, submit SF 115 to NARA. All other systems destroy 10 years after certification of post closure care and monitoring and when all enforcement actions related to the facility have been settled.
(3) Waste Management Systems	
Any electronic or manual system that tracks and produces records of wastes, from cradle to grave, from generator, storage or transported locations, including laboratory processing.	
(a) Database and record systems which track wastes from creation through transportation, processing, storage; and reporting tracking records.	Delete or destroy when related records are destroyed, or 75 years from creation, whichever occurs later.
(b) Database system development records and documentation records which support the maintenance and operation of tracking systems	Destroy or delete upon authorized deletion of related system.
(4) Electronic Data Management Systems	
Computerized data retrieval systems that manage laboratory information including, but not limited to, tracking samples, managing or archiving analysis results and generating data reports.	Delete or destroy when related records are destroyed, or 75 years from creation, whichever occurs later.

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<u>Description of Records</u>	<u>Disposition</u>
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(5)	Computer Model Radiation Calculation Records
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These records document the calculation of the highest capacity or highest level of radiation exposure and the results of the exposure to the population, and environment. Calculations are combined with information from environmental and dosimetric concentrations and health effects data to develop compliance reports required by various regulatory agencies. Records may include, but are not limited to, meteorological and demographic data concentrations measured from the population, organ dose, frequency

distribution of lifetime fatal cancer risk, individual maximum risk assessment, death risk, stack emission, beef and dairy cattle, food crops, time delay rate, period of exposure, transport time, consumption time, ingestion levels, system calibration and setups.

(a)	Records which include methodology calculations and baseline data.	Destroy when no longer needed
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(b)	Temporary data files created during the model usage.	Destroy when no longer needed
-----	------------------------------------------------------	-------------------------------

(6)	Electronic Mail and Word Processing System Copies
-----	---------------------------------------------------

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

**Description of Records**

**Disposition**

- |     |                                                                                                                                                                                                                                                                                                                                                   |                                                                               |
|-----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------|
| (a) | Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. | Destroy/delete within 180 days after the recordkeeping copy has been produced |
| (b) | Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.                                                                                                                                                                                                                                   | Destroy/delete when dissemination, revision, or updating is completed.        |

**h. CERCLA-Funded Cooperative Agreements  
(Superfund Projects) Records**

**(1) Project and Site Specific Files**

Record keeping systems that consist of complete site-specific files and project records containing documentation of costs incurred, site-specific costs to be tracked by site, activity, and operable unit, as applicable, and systems which provide sufficient documentation for cost recovery purposes if the requirements are the same.

Destroy 10 years following submission of the final financial status report for the site, or until resolution of all issues arising from litigation, claim, negotiation, audit, cost recovery, or other actions, whichever is later. Written approval must be obtained from the EPA award official before destroying any records.  
40 CFR 35.6700

## **Description of Records**

## **Disposition**

### **(2) Administrative Systems**

Record keeping systems pertaining to:

Destroy 10 years following submission of the final financial status report for the site, or until resolution of all issues arising from litigation, claim, negotiation, audit, cost recovery, or other actions, whichever is later. Written approval must be obtained from the EPA award official before destroying any records.  
40 CFR 35.6700

- (a) Property records, procurement, time and attendance records and supporting documentation
- (b) Compliance documentation pertaining to statutes and regulations that apply to the project
- (c) Site-specific technical hours spent to complete each pre-remedial product
- (d) Records as required by 40 CFR 35.6705, and records access requirements described in 40 CFR 31.36(I)(10) and 31.42(e)
- (e) Financial and programmatic records, supporting documents, statistical records, and other records which are required by 40 CFR 35.6700, program regulations, or the cooperative agreement, or are otherwise reasonably considered as pertinent to program regulations or the cooperative agreement

### **i. Public Involvement Records**

Records containing information relating to public affairs and public involvement in restoration and remediation activities.

Permanent. Retain onsite until no longer needed. Transfer to NARA.



## **Description of Records**

## **Disposition**

May include public affairs records not included in the administrative record that are maintained by Public Affairs or External Affairs Offices. (Section 1a); news releases, photos, maps, figures; community meetings records, community relations records; public meetings/presentations, environmental bulletins; other CERCLA-required public involvement records; Public Involvement Plan records.

### **j. Remediation Management Records (Other Than CERCLA Funded Cooperative Agreements)**

Records of management services organizations dedicated to solving waste cleanup problems. Records include project scope terms and conditions; contracted authority requirements; project costs; correspondence to and from clients, contractor or regulatory entities; data and analysis necessary to replicate the project findings; contractor records; reports on current situations, recommendations for future actions, evidence of training and qualification; records which document and describe general remediation project information, including procedure manuals, site operating procedures, project directives and project proposals.

#### **(1) Remediation Plan Records**

Sitewide Criteria and Design Basis-Remediation-based records, sitewide data and memoranda-remediation-related records, remediation project information records, Federal Regulatory Agencies-remediation-related records, sitewide project controls-remediation-related records, remediation plans records, RI/FS, remedial project specific records, such as sitewide project control records, sub-contractor support records, project information records, project charts and construction records; Operable Unit program development records; operating plans; RCRA operating logs; Operational Readiness Review Records.

Cutoff at the end of the project or in 5 years. Retire to FRC in 5 year blocks. Destroy after 75 years.

<u>Description of Records</u>	<u>Disposition</u>
(2) Expedited Response Action Records	
Time critical and/or non-time critical response action records.	Destroy 10 years after FFA&CO terminates. 40 CFR 300
Waste site at which clean up occurs because of limited exposure of personnel, the dangerous nature of the operations involved or because immediate cleanup would be easier or more cost effective.	
<b>k. Environmental Record Case Files</b>	
NOTE: Use only for records maintained as a collection.	
(1) Environmental Program Management Files	
Document the management, administration, support, function, operation, and program activities for an environmental program. These records include, but are not limited to, mission descriptions or documents describing the following: the type of work performed; funding/budget documentation; program plans; approvals and implementation and coordinating program activities; action plans; program development records; compliance to regulatory requirements; a history of past management practices; meeting minutes; audits; project reviews or event documentation; organization structure; property/equipment lists; deliverables; reports and correspondence related to milestones, work identification or progress; and other related documentation.	Cutoff at project completion. Destroy 25 years after project completion.

*W.D./L. Brown JBE  
See 4-19-00 letter*

## Description of Records

## Disposition

### (2) Environmental Project Case Files

Project case files, maintained as a collection throughout the projects life cycle, which documents the activities of the project from initiation through completion. Identify contract or work agreements, statement of work, funding/budget documentation, project plans, project justification, audits, project reviews or event documentation, client status reports, permits, organization structure, property lists/inventories, deliverables, meeting minutes/agendas, closure plans, final reports, and other reports and correspondence related to milestones, project scope, staffing, initiation or execution of the project. May also include engineering design review records and as-built drawings.

- |                                                                                      |                                                                                                   |
|--------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------|
| (a) Projects for which innovative technology is initially developed or demonstrated. | Permanent. Cutoff at project completion. Transfer to NARA 25 years after cutoff. See NI-434-96-9. |
| (b) Case files for all other environmental projects.                                 | Cutoff at project completion. Destroy 25 years after project completion.                          |

### (3) Decontamination and Decommissioning Cleanup and Transitioning Case Files

This record documents the decontamination, decommissioning, dismantlement, disposal, or the cleanup and transitioning of a facility, area, or equipment that has been exposed to radiation or hazardous chemicals. Files include, but are not limited to, correspondence, as-built drawings, engineering studies, cost and schedule estimates, environmental documentation, photographs, procedures, radiological and

Cutoff at project completion. Retire to FRC 25 years after cutoff. Destroy in 75 years.

## Description of Records

## Disposition

hazardous characterizations, readiness reviews, safety analyses, meeting minutes, contracts, waste burial records, work authorizations, work orders, letters of instruction, engineering orders, event fact sheets, facility surveillance data sheets, inspection reports, phase/status reports, and final decommissioning reports.

(4) Sampling and Analysis Case Files

Contains material relating to a specific environmental site, activity, project, organization, laboratory, process, etc. These files may contain but are not limited to the following: a record index; administrative records (correspondence, meeting minutes, etc.); RI/FS; investigative field documentation.

Destroy after 50 years.

*JD 1/6/2021*  
CUT OFF CASE FILE UPON CLOSURE OF SITE, OR TERMINATION OF ACTIVITY, PROJECT, ORGANIZATION, LABORATORY, OR PROCESS. DESTROY 50 YEARS AFTER CUT OFF.

## 2. REGULATORY COMPLIANCE

This category covers records documenting compliance with the NEPA, State environmental policy acts, the Council on Environmental Quality (CEQ) regulations, DOE NEPA guidelines, DOE Secretarial Policy on NEPA, DOE Orders, and other Federal, state, and local environmental regulations. It includes regulatory files containing records demonstrating compliance with environmental regulations such as CERCLA, RCRA, NEPA, Clean Water Act, and the Safe Drinking Water Act (SDWA).

<u>Description of Records</u>	<u>Disposition</u>
<b>a. Inspection/Assessment/Appraisal Records</b>	
Records or files associated with assessments, appraisals, or inspections to verify environmental compliance.	
(1) Inspection Record Files	
(a) RCRA-related inspection files.	Destroy 5 years after life of facility.
(b) CERCLA-related waste inspection logs.	Destroy 5 years after waste removal date.
(c) General inspection logs related to operations; safety inspections; inspection schedules, completed inspection procedures and checklists; internal, job-specific inspection checklists and other supporting documentation.	Destroy 3 years after date of inspection.
(d) Inspection records of hazardous waste storage locations, that record date and time of the inspection, notes of observations made, and date and nature of any repairs or other remedial actions.	Destroy 3 years after date of inspection.
(e) Inspection logs or records maintained pursuant to 40 CFR 264.347 or 40 CFR 264.15 or 40 CFR 264.73.	Destroy 3 years after date of inspection.
(2) Waste Appraisal Files	
Hazardous waste appraisals that determine if short-term or temporary storage areas, containers, or packaging are in compliance with requirements.	Destroy 5 years after appraisal.

<u>Description of Records</u>	<u>Disposition</u>
(3) Assessment Records	
NOTE: Essential data may be included in comprehensive Waste Management System (see item 1.g3)	
(a) Assessments of inactive waste sites.	Destroy 5 years after waste site closure.
(b) Records documenting evaluation, assessment, audit records, and associated corrective action documentation.	Destroy 75 years after action is taken.
<b>b. Spill/Release Records</b>	
Records that report all spills or releases of hazardous substances, identifying the location, type, volume, time discovered/occurred, reporting individual, effected media, corrective action taken, hazardous substance release records and other information considered necessary to document the spill, release and cleanup.	
(1) Leak Inspection Files	
RCRA overfill leak inspections.	Destroy 3 years after inspection.
(2) Spill Records	
Chemical spills, hazardous waste spills, process spills, or similar spills under CERCLA/RCRA.	Destroy 10 years after cleanup.
(3) Polychlorinated Biphenyl Spill and Cleanup Records	
Polychlorinated Biphenyl (PCB) spills cleanup records.	Destroy after 5 years. 40 CFR 761.125
(4) Spill Response and Remediation Plan Files	Destroy 1 year after superseded.
(5) Spill Prevention Control and Counter-Measures (SPCC) Records	Destroy after 3 years. 40 CFR 112.7



## Description of Records

## Disposition

### c. Waste/Chemical Inventory Files

Records containing hazardous chemical inventories identifying types and amounts of chemicals currently in use, inventories of hazardous waste scheduled for transport for disposal, and radioactive and mixed waste, transuranic (TRU) waste, and high level radioactive waste.

#### (1) In-Use Chemical Inventory Files

Inventories of chemicals in use; chemical inventories for Superfund Amendment and Reauthorization Act of 1986 (SARA) Emergency Planning and Community Right to Know Act of 1986 (EPCRA) reporting such as Tier Two Emergency and Hazardous Chemical Inventory (commonly called 312) and Toxic Chemical Release Inventory (commonly called 313), and other regulatory agency-driven requirements. (See item 1.b2 and 1.b3 for reports.)

Destroy 3 years after submittal of report.  
40 CFR 372.10

#### (2) Storage Inventory Files

Inventories that indicate type and amounts of hazardous wastes currently located at storage sites.

Destroy after facility closes.  
40 CFR 265.73

#### (3) Low-Level Radioactive and Mixed Waste Inventory Files

Inventories that indicate the amount and types of low-level radioactive and mixed waste inventory.

Destroy 5 years after permit expires.

#### (4) Hazardous Waste Inventory Files

Inventories of hazardous wastes maintained for transport for temporary disposal.

Destroy 3 years after shipment date.

#### (5) Transuranic Waste Inventory Files

Inventories for two types of TRU: contact handled, such as glovebox waste; and remote handled, such as irradiated fuel or samples from tank wastes.

Destroy when waste is transferred, treated, or disposed of.

<u>Description of Records</u>	<u>Disposition</u>
(6) High-Level Radioactive Waste Inventory Files	Cutoff 5 years after disposal/transfer of waste. Retire to FRC in 5 year blocks. Destroy in 75 years.
<b>d. Waste Generator Shipping/Transporting Waste Files</b>	
Records involving the receipt, shipment or transfer of chemicals, wastes or other hazardous, radioactive or toxic substances.	
(1) Hazardous Substance Transfer Files	
Includes logs and records, incoming waste shipment requests, hazardous waste manifests, and hazardous waste transfer records medical/biohazardous waste manifests.	Destroy 3 years after shipment. 40 CFR 279.74, 40 CFR 761.180, 40 CFR 761.209, 40 CFR 264.71, and 40 CFR 265.71.
(2) Low-Level Radioactive Waste Management Disposal Requests and Shipment Records	
Includes storage/disposal records used as manifests.	Destroy 3 years after waste disposal date.
(3) High-Level and Radioactive Mixed Waste Shipment Records	
Includes storage records, forms or records prepared by the waste generator, and other related documentation.	Destroy when 75 years old.
(4) Transuranic Shipment Records	
Includes records prepared by the waste generator and other related documentation.	Destroy after 5 years.
(5) Waste Acceptance Criteria Records	
Includes records that become part of the site specific plan(s).	
(a) Nuclear related.	Destroy after 20 years.
(b) Non-Nuclear related.	Destroy after 10 years.

## Description of Records

## Disposition

### **c. Pollution Prevention and Waste Minimization Program Records**

Pollution prevention and waste minimization program records encompass records which document waste elimination, reduction or minimization, during activities such as research, process design, and daily facility or plant operations.

- (1) Waste Stream Identification and/or Characterization Studies

Documents and provides detailed descriptions of waste stream processes and identify details of the process including characterization information such as; waste streams stored or in use, chemical by-products produced, field interview notes, draft sketches or layouts, building inspector comments, inputs, outputs, associated costs, etc.

*JDS 1/6/2000*  
CUT OFF FILES AT END OF FISCAL YEAR  
Destroy ~~after~~ 10 years, *OLD*.  
*WHEN*

- (2) Inventory Control Records

Waste inventory control and material substitution records.

*JDS 1/6/2000*  
CUT OFF FILES AT END OF FISCAL YEAR.  
Destroy ~~after~~ 75 years, *OLD*.  
*WHEN*

### **f. National Environmental Policy Act and Related Laws Documentation**

- (1) Environmental Impact Statement

An environmental impact statement (EIS) is required for proposed major federal actions that significantly affect the quality of the human environment. A supplemental analysis (SA), is prepared if there are substantial changes to the proposed action or significant new circumstances or information relevant to environmental concerns for an action covered by an existing, approved EIS. An SA is prepared to determine if a supplemental EIS or a new EIS should be prepared.

<u>Description of Records</u>	<u>Disposition</u>
(a) Maintained by the cognizant DOE Operations Office.	Permanent. Cutoff when ROD is issued. Transfer to NARA 20 years after cutoff.
(b) All other copies.	Destroy when no longer needed.
(c) Final Published Version	
Background material, documentation includes the draft EIS and supporting plans, scoping, scheduling, and background information; public and agency comments; Notice of Intent (NOI); ROD; and may include SA, EIS Implementation Plan, Community Relations Plan/Public Participation Plan, Records of Considerations, Mitigation Action Plan, Supplemental EIS, and Flood Plain/Wetland Assessments.	Destroy in 20 years. Retire to FRC 5 years after ROD is issued.
(2) Environmental Assessment Records	
An environmental assessment (EA) provides the information to determine the necessity for an EIS or a finding of no significant impact. Documentation includes the EA and NOI.	
(a) Maintained by the cognizant DOE Operations Office.	Permanent. Cutoff when project is completed. Transfer to NARA 20 years after cutoff. 40 CFR 1508.9
(b) All other copies.	Destroy when no longer needed.
(c) Background documentation.	Destroy in 20 years. Retire to FRC 5 years after ROD is issued.

**Description of Records**

**Disposition**

(3) Categorical Exclusion Records

A categorical exclusion (CX) documents that the potential impacts to the environment are clearly insignificant and the proposed action falls within a category of actions not normally requiring an EA or an EIS. An information bulletin (IB) describes the action and identifies the appropriate CX and is prepared as a basis for a DOE decision regarding the CX. The IB usually includes a draft CX determination. Documentation includes the IB, environmental checklist (ECL)/action description memorandum and other records used to reach a CX determination.

(a) Maintained by the cognizant DOE Operations Office.

Permanent. Cutoff when project is completed. Transfer to NARA 20 years after cutoff. 40 CFR 1508.4 and 10 CFR 1021

(b) All other copies.

Destroy when no longer needed.

(c) Background documentation.

Destroy in 20 years. Retire to FRC 5 years after ROD is issued.

(4) National Environmental Policy Act Support Documentation

Documentation supporting compliance with other environmental statutes coordinated with the NEPA process.

Cutoff annually at the end of the calendar year of project completion. Destroy in 3 years. 10 CFR 1021, 10 CFR 1500, and 10 CFR 1508

**g. Septic System/Sewage Treatment Files**

Plans and specifications for proposed construction. Approvals, certification of inspection and installation, operations manuals, drawings, periodic inspections, vendor information, correspondence, and meeting minutes.

(1) Operation Manuals and Vendor Information

Destroy when equipment is no longer in service.

<u>Description of Records</u>	<u>Disposition</u>
(2) Approvals, Certification of Inspections and Installation, Drawings, Correspondence and Meeting Minutes	Destroy when 50 years old.
<b>h. Drinking Water and Safe Drinking Water Act Files</b>	
Records documenting drinking water system operated in support of DOE site.	
(1) Bacteriological Analysis Files	
Records of Bacteriological analysis.	Destroy in 5 years or when data has been transferred to tabular summaries. 40 CFR 141.33
(2) Chemical Analysis Files	
Records of chemical analysis.	Destroy in 10 years. 40 CFR 141.33
(3) System Survey Files	
Copies of written reports or summaries of sanitary surveys of the system.	Destroy 10 years after completion of sanitary survey.
(4) Variance Record Files	
Records of a variance or exemption.	Destroy 5 years after expiration of variance or exemption.
(5) Corrective Action Files	
Records of actions taken by the system to correct violations of primary drinking water regulations.	Destroy 3 years after last corrective action taken with respect to particular violation involved. 40 CFR 141.33

## Description of Records

## Disposition

### i. Well Records

#### (1) Well History and Construction Files

Records dealing with the history and construction of wells including inventories of wells, photographs, soil borings from geological investigations, boreholes, coreholes, test holes and any other drill holes where data was obtained. It includes drilling plans and reports, well installation and completion records, schematics of well construction, logbooks such as drilling logs, correspondence, maps, photographs, charts, summary reports, construction verification reports.

Retain on site. Cutoff when well is plugged and abandoned. Retire to FRC 3 years after cutoff. Destroy when facility closes.

*JS 11/6/2000*  
~~NOTE: Courtesy copy may be provided to new owner.~~

#### (2) Well Maintenance Files

Records dealing with well maintenance such as well services requests, well services planning, well structure field inspections, repairs and modifications, surveying, installing locking well caps, maintaining pump systems, removing deposits.

Retain on site. Cutoff when well is plugged and abandoned. Retire to FRC 3 years after cutoff. Destroy when facility closes.

*JS 11/6/2000*  
~~NOTE: Courtesy copy may be provided to new owner.~~

#### (3) Well Abandonment Files

##### (a) Well abandonment plans, notifications, reports. NEPA CX List of Wells.

Retain on site. Cutoff when well is plugged and abandoned. Retire to FRC 3 years after cutoff. Destroy when facility closes.

*JS 11/6/2000*  
~~NOTE: Courtesy copy may be provided to new owner.~~

##### (b) Abandonment of underground injection wells. The nature and composition of all injected fluids.

Destroy 3 years after plugging and abandonment. 40 CFR 144.28[I][2]

**Description of Records**

**Disposition**

**j. Underground Storage Tank Files**

Records related to the regulation of storage of materials, wastes, and products in underground storage tanks (USTs). 42 USC 6991, 40 CFR 280, and 40 CFR 281.

(1) Tanks Subject To Excavation

Destroy 3 years after tank is removed.

(2) Tanks Subject To Remediation

Destroy 20 years after abatement is completed.



### 3. PERMITTING

Permitting documentation includes those records related to authorizing access or permission from a governmental entity, such as city, county, state, or Federal agency, to initiate an action, usually defining specified limits in the form of a written warrant or license. This category may include necessary or required documents that precede the granting of the license or warrant, such as applications for permits.

<u>Description of Records</u>	<u>Disposition</u>
<b>a. Applications for Permits</b>	
Preparation of the permitting application includes permitting requirements, permitting policies, cost information, schedules, application, closure plans, notification requests, supporting documentation, negotiations with permitting agency modification process and correspondence.	
(1) RCRA Part A and B Permit Applications	Destroy 5 years after applicable permit expires.
(2) All Other Permit Applications	Destroy 5 years after applicable permit expires.
<b>b. Permits</b>	
Permitting documentation includes detailed definition of the approved process, schedules, milestones, reporting requirements, supporting documentation, correspondence, terms and conditions of the permit, notification of changes to the permit and modifications.	
(1) RCRA Permits, Part A and B	
(a) Maintained by the cognizant DOE Operation's Office	Permanent. Cutoff and transfer to NARA at termination of permit.
(b) All other copies	Destroy when no longer needed.
(c) Supporting documentation	Destroy 5 years after permit expires.
(d) Required monitoring data	
Including all calibration and maintenance records and all original strip chart recordings for continuous monitoring instrumentation, copies of all reports required by permit.	Destroy after 3 years.

## Description of Records

## Disposition

### (2) Waste Water Discharge Permit Records

These records document the requests for permission to discharge waste water into ground water and sanitary sewers. Includes but is not limited to: discharge plans, approval letters, samples and analysis, certificate of analysis, monitoring requirements, renewal applications, chain of custody forms, permits and applications, routine storm maintenance requests, including records required by National Pollutant Discharge Elimination System (NPDES), State Waste Discharge, Injection Well and Stormwater Permits. Also, includes reports required by the permits, including but not limited to, discharge monitoring reports, noncompliance notification, noncompliance reports and corrective action measures. Water may be discharged into sewers, ponds, lagoons, etc.

- |                                                                                      |                                                                    |
|--------------------------------------------------------------------------------------|--------------------------------------------------------------------|
| (a) Construction permits submitted after applications are approved.                  | Destroy 3 years after the applicable permit expires. 40 CFR 122.21 |
| (b) Technical, general regulatory and policy correspondence.                         | Destroy after 5 years.                                             |
| (c) Notices to discharge surplus water records in accordance with permit compliance. | Destroy 5 year after permit expires.                               |
| (d) Purge water activity records.                                                    | Destroy 5 years after permit expires.                              |
| (e) Storm drainage inspections and maps.                                             | Destroy 5 years after permit expires.                              |

## Description of Records

## Disposition

### (3) Air Emissions Permit Records

Document the process of developing and obtaining approval from federal, state, air quality district, or city officials to emit air pollutants and/or airborne particulate matter in compliance with the Federal CAA, associated State implementation plans and laws. Records may include, but are not limited to, permit applications and supporting documentation, permits, (such as new construction or preconstruction, operating modification, new source, NESHAPS, prevention of significant deterioration, acid rain, open burn, top soil disturbance, administrative permit amendments, permit renewals, modifications, cancellations, suspensions, exemptions, approvals, and disapprovals, monitoring and control plans, notices of violation, material safety data sheets (MSDS) for pollutants, permit lists, dispersion modeling information, correspondence with and between DOE, DOE contractors, city, state, air quality district, or EPA officials regarding permitting, documentation of permit fee invoices and payments, and ownership of pollution allowances or rights. Records may also include air emission permit tracking databases.

- |                                                         |                                                         |
|---------------------------------------------------------|---------------------------------------------------------|
| (a) Related and supporting documentation for permits.   | Destroy 3 years after related permit expires.           |
| (b) Pollution allowance ownership rights documentation. | Destroy 3 years after related permit expires.           |
| (c) Draft documents, supporting notes and calculations. | Destroy when superseded, obsolete, or no longer needed. |
| (d) Related databases and data.                         | See 1.g2                                                |

<u>Description of Records</u>	<u>Disposition</u>
(4) Pollution Prevention Equipment Permit Records	
Document the permission to install specific equipment in buildings or facilities at DOE contractor sites to meet regulatory compliance. Records may include, but are not limited to, permit applications, permits, permit renewals, correspondence, emission concentration, and type of pollution control equipment.	Destroy 3 years after related permit expires.
(5) All Other Permits	Destroy 3 years after related permit expires.
<b>c. Permit Petitions and/or Waivers</b>	
Documentation used as a means to request a petition or waiver from a permit requirement(s).	Destroy 5 years after petition/waiver expires.
<b>d. Closure Plans</b>	
Closure plans include description of plans for each unit, estimate of maximum inventory during active life, description of steps needed to remove a decontaminate, and schedule.	
(1) Interim Closure Plans/Closure Plans	Destroy 10 years after certificate of closure is received.
(2) Post Closure Plans	Permanent. Cutoff when no longer needed. Transfer to NARA 25 years after cutoff.
<b>e. Pesticide/Herbicide Records</b>	
Records of application of pesticides/herbicides	
Records include but are not limited to location involved, date, time, appropriate meteorological data for exterior applications, amounts of chemical associated concentrations and equipment used, signature and license number of the cognizant operator along with pertinent remarks.	Destroy after 10 years.

#### 4. MONITORING

Monitoring records document activities that affect environmental quality, such as discharging air pollutants to the atmosphere, and activities that involve radioactive and nonradioactive liquid effluent discharges to the environment, including rivers, sanitary sewers, land surfaces, the subsurface, and drinking water supply systems. Environmental surveillance activities are conducted routinely with the intent of detecting and quantifying radiological and nonradiological contaminants and assessing their environmental and human health significance.

NOTE: See Section 1e for logbooks relating to monitoring activities.

	<u>Description of Records</u>	<u>Disposition</u>
<b>a. Soil Monitoring Records</b>		
(1)	Procedures	
	Procedures that detail the specific methods and frequency of environmental soil monitoring.	Cutoff when superseded or obsolete. Destroy when 75 years old.
(2)	Equipment Calibration Records	
	Documentation providing assurance that equipment used during monitoring activities was calibrated to established standards.	
	(a) Radiation detection instrument calibration records.	Destroy when 75 years old.
	(b) All others	Destroy 5 years after calibration.
(3)	Radiological Survey Forms and Logs for Soil Monitoring	Destroy when 75 years old.
(4)	Statistical Monitoring Data	
	Data used to make statistical comparisons between different monitoring locations or time periods.	Destroy when results are incorporated into summary reports, or when 5 years old, whichever is earlier.
<b>b. Air Monitoring Records</b>		
(1)	Procedures	
	Procedures that detail specific methods and frequency of environmental air monitoring.	Cutoff when superseded or obsolete. Destroy when 75 years old.

<u>Description of Records</u>	<u>Disposition</u>
<p>(2) Air Filter Records</p> <p>Records used to gather, analyze, and report air quality data including hot cell air quality and filter efficiency data in radiological control area. Records may include, but are not limited to, air filter information, raw data derived from filters, such as filter number and amount of particulates, filter efficiency test reports and data, and filter inventory lists.</p> <p>(a) High-Efficiency Particulate Air (HEPA) filter records, including but not limited to; raw data efficiency tests, laboratory analysis and inventory lists.</p> <p>(b) Databases that duplicate the records listed above.</p>	<p>Cutoff annually. Retire to FRC 5 years after cutoff. Destroy when 75 years old.</p> <p>Delete after the expiration of the retention period authorized for hard copy files, or whenever no longer needed, whichever is later.</p>
<p>(3) Evaporator, Hood, Stack, and Exhaust Fan Discharge Records</p> <p>These records document equipment types and discharge rates used to calculate the potential release of contaminants and radionuclides from specific locations. The records are used to supplement the NESHAP reports and to fulfill partially the requirements of the EPA. Records may include, but are not limited to, trace emissions, location, equipment type, velocity, release rate, concentration, parameters, hourly evaporation rate, identification of the chemicals purchased and used by the department, descriptions of air handling supply and exhaust systems, description of the flow measuring system, flow rate testing data sheets, what type of toxic or radioactive material the hood is used for, instrument type and serial number, calibration due date, and approval.</p>	<p>Cutoff annually. Retire to FRC 5 years after cutoff. Destroy when 75 years old.</p>

<u>Description of Records</u>	<u>Disposition</u>
<p>(4) Monitoring Baseline Study Record</p> <p>These records document a study which establishes normal monitoring levels for measuring the radioactive and non-radioactive impact on the environment and surrounding populations. Information from these records may be used to compile compliance reports. Records may include, but are not limited to, correspondence, plan status, performance and technical system audits, wind source direction status, preliminary and end results, interpretations, conclusions and recommendations, ECL, system plan, and effluent particle size.</p>	Destroy when 20 years old.
<p>(5) Hazardous Air Pollutant Baseline Study Records</p> <p>These records document measurements collected from upwind and downwind locations indicating the hazardous air pollutants specified in 42 USC 112 such as asbestos, benzene, beryllium, mercury, vinyl chloride, coke oven emissions, and inorganic arsenic. Records may include, but are not limited to, analytical procedures, calibrations, monitoring results and recommendations.</p>	Destroy when 20 years old.

**Description of Records**

**Disposition**

(6) Annual Background Study Records

These records document the preliminary results of an approved background study used by the EPA, the state, and DOE to evaluate contamination release. These studies are used to develop information on the uncontaminated conditions of a site. The data is compared with data from areas that might be contaminated. Records may include, but are not limited to, data acquisitions and related correspondence, description of data collection methods and technology, data logs, subcontractor memos, applicable NEPA documentation and analytical results.

Destroy when 5 years old.

NOTE: See 1.g7 for Basic Reports.

(7) Stratospheric Ozone Protection Records

These records document a unified, cost effective, and competitive approach for a transition from using ozone depleting chemicals to the use of new chemicals or chemical substitutes that will not deplete the stratospheric ozone or pollute the air or the environment. Records may include, but are not limited to, memos and correspondence, summary plans, cost analysis, substance lists, and regulation lists.

Destroy when 3 years old.



<u>Description of Records</u>	<u>Disposition</u>
(8) Criteria Pollutant Records	
(a) Criteria pollutant release records	
<p>These records document measures of National Ambient Air Quality Standards Program (NAAQS) criteria pollutants released into the air that meet pollution prevention requirements. The pollutants measured have been identified as being hazardous to human health and welfare. These measurements are mandated by the DOE as part of resolving National Air Quality problems. Records may include, but are not limited to, ECL, Request for Facility Services, CX list and EPA checklists.</p>	Destroy when 5 years old.
(b) Criteria Pollutant Source Inventory	
<p>Records document annual inventories of criteria pollutant sources at DOE and contractor sites. These records are used to determine the source type and concentration of pollution emitted from identified locations.</p>	Destroy 5 years after inventory completion.

**Description of Records**

**Disposition**

(9) Air Monitoring/Sampler Equipment  
Calibration Records

These records document the type of calibration performed, the degree of accuracy to which the item was calibrated and the date of calibration, and to determine when the item is due for recall. Records may include, but are not limited to, procurement, equipment serial number and location, manufacturers statement of origin, manufacturer code, equipment calibration estimates, calibration data forms, checklists, billings, inspection reports, move orders, equipment manual information, vendor information, quality and operating checks, pre-operational checklists, calibration date, calibration data, calibration recall notices, calibration sheets, out-of-tolerance notifications, recall cards, equipment standards and specifications, certificates of conformance, certificates of completion, instrument status, service performance reports, and trouble shooting information.

(a) Radiation detection instrument  
calibration records

Destroy when 75 years old. DRS 1.7a1

(b) All others

Destroy 5 years after calibration.

## **Description of Records**

## **Disposition**

### **c. Meteorological Monitoring Records**

These records document the data collected from weather monitoring stations to support environmental monitoring programs. It is also used to report overall annual dose, calculated concentrations of routine and accidental releases, and supports real time plume trajectory forecasting system. Records include, but are not limited to, strip charts of real time measurements of wind speed and direction, temperature, wind chill, relative humidity, dew point, precipitation, barometric pressure, synopsis of expected daily weather activity, evening forecast, weather cautionary or alert information, semiannual calibration results of tower, logbooks identifying problems, abnormalities, documentation of daily checks, correspondence regarding tower installation, and construction, milestone report, meteorological system design and overview, briefings and findings.

Destroy when 10 years old.

### **d. Groundwater Monitoring Records**

#### **(1) Procedures**

Procedures that detail the specific methods and frequency of groundwater monitoring.

Cutoff when superseded or obsolete.  
Destroy when 75 years old.

#### **(2) Equipment Calibration Records for Groundwater Monitoring**

Provides assurance that equipment used during monitoring activities was calibrated to established standards.

##### **(a) Radiation detection instrument calibration records**

Destroy when 75 years old.

##### **(b) All others**

Destroy 5 years after calibration.

#### **(3) Radiological Survey and Form Logs for Groundwater Monitoring**

Destroy when 75 years old.

<u>Description of Records</u>	<u>Disposition</u>
<p>(4) Statistical Monitoring Data</p> <p>Data used to make statistical comparisons between different monitoring locations or time periods.</p>	<p>Destroy when results are incorporated into summary reports, or when 5 years old, whichever is earlier.</p>
<p><b>e. Tank Monitoring</b></p>	
<p>Records related to the monitoring of tanks containing chemicals, wastes or other hazardous, radioactive, or toxic substances.</p>	
<p>(1) Liquid Levels/Surface Levels</p> <p>Records that document the baseline and associated changes in the level of liquids contained within a tank indicating potential problems or lack thereof.</p>	<p>Until tank closure</p>
<p>(2) Dome Elevation</p> <p>Records that document crusts or buildups within a tank that may account for solids or sludge fragments rising to the top indicating an explanation for changes in tank surface levels and liquid levels.</p>	<p>Until tank closure</p>
<p>(3) Drywell/Swab Risers</p> <p>Records of contamination measurement to help detect leaks to the ground from a tank or transfer line (or waste stream).</p>	<p>Until tank closure</p>

## 5. SAMPLING AND ANALYSIS

Records included in this series document sampling and analysis activities for samples collected during environmental investigations, remediation, and restoration from sample acquisition to sample disposition. Documentation covers planning sampling operations, conducting sampling operations (collecting samples), documenting sampling operations, sample management and control, and reporting sampling results.

NARA accepts information relating to physical specimens, but not the specimens themselves. Because some requirements specify retention of samples, the responsibility for maintenance of them rests with the organization that gathers or collects such items. Related information is scheduled herein. Physical samples and specimens should be returned to the organization from which they originated per EPA requirements.

NOTE: See Section 1e for logbooks related to sampling and analysis.

<u>Description of Records</u>	<u>Disposition</u>
<b>a. Procedures</b>	
These procedures detail the methods used and frequency of analysis of environmental samples. Includes records or correspondence which give the philosophy and scope of sampling, provide interpretations of results, and detail the plans for sampling and analysis of environmental samples.	Cutoff when superseded or obsolete. Destroy when 75 years old.
<b>b. Sampling Authorization Forms</b>	
These forms document field sampling requirements generated to initiate and perform sampling and analysis activities.	Destroy in 75 years.

## Description of Records

## Disposition

### c. Sampling and Analysis Records

#### (1) Analytical Laboratory Data Packages

These data packages consist of documentation generated during transport and receipt of field samples (e.g., chain of custody), sample movement in the laboratory, preparation for analysis, laboratory analyses output, raw and processed data, analytical results (analysis reports), reanalysis, quality control sample results, and instrument calibration data, plus a summary of final results for each batch. May include validation and/or verification documentation.

Destroy in 75 years.

#### (2) Physical Property Data Packages

These data packages contain analytical results for samples taken during borehole or well drilling operations. Samples are obtained at several different elevations during the drilling. Samples are submitted to the laboratory for physical property testing. These files contain the following records: data transmittals, graphs, and laboratory analysis.

Destroy in 75 years.

#### (3) Field Screening Data Packages

These data packages document field screening measurements for preliminary determinations of contamination levels in support of environmental investigation, restoration, and remediation activities, using commercially available instruments and/or test kits. Field screening methods include, but are not limited to, aqueous headspace analysis of VOCs in soil; analysis of VOC in soil gas; field immunoassay testing; and pH screening in soil samples. Documentation may

Destroy in 75 years.

**Description of Records**

**Disposition**

include, but is not limited to: sample analysis request documentation; narrative description or overview of activities that took place; summary of results; table of analyses; logbook pages; strip charts; instrument calibration data; and laboratory analysis reports.

**d. Laboratory Sample Processing Records**

These records consist of control records pertaining to work performed in analytical laboratories. Records include, but are not limited to Sample Receiving Logs, analysis requests, analytical assay records, and comparative analysis logs.

Destroy when 10 years old.

## 6. DISPOSAL/CLEANUP

This category includes records documenting cleanup of past-practice waste sites or units, closure of waste sites under RCRA and other applicable regulations, cleanup of waste sites under CERCLA and RCRA corrective action provisions and disposal of radioactive and hazardous waste from waste sites. Records include those generated once a decision has been made to clean up a given location, encompassing those actions from removal/treatment of the contaminated area to restoration of the area to its natural condition.

<u>Description of Records</u>	<u>Disposition</u>
<b>a. Designation/Mean of Disposal</b>	
Procedures Governing Disposal and Cleanup.	Permanent. Retain on site until final cleanup. Transfer to NARA 5 years after cutoff.
<b>b. Waste Disposal Characterizations/Records</b>	
Records indicating type (classification) and degree of contamination, date of disposal, method of disposal (burial, landfill, etc.), volume, and disposal location. Records may include engineering studies, reports of unusual problems encountered during removal or treatment.	Permanent. Cutoff 5 years after disposal. Transfer to NARA 25 years after cutoff.
<b>c. Waste Disposal Characterizations/Records</b>	
Supporting documentation includes but is not limited to miscellaneous worksheets, recorder sheets, other data sheets, and correspondence from where applicable information has been transcribed or summarized in other documentation, such as item b, above.	Destroy when 1 year old.



7. Electronic Mail and Word Processing System Copies.

Electronic copies of records that are created on electronic mail and word processing systems and used solely to generate a recordkeeping copy of the records covered by the other items in this schedule. Also includes electronic copies of records created on electronic mail and word processing systems that are maintained for updating, revision, or dissemination.

a. Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy.

Destroy/delete within 180 days after the recordkeeping copy has been produced.

b. Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy.

Destroy/delete when dissemination, revision, or updating is completed.

**RECOMMENDATION TO THE ARCHIVIST ON RECORDS  
DISPOSITION REQUEST**

Job No: N1-434-98-28

Item Count: 171

**SUMMARY**

The Department of Energy (DOE) submits Job No. N1-434-98-28 to request Agency-wide disposition authority for 13 new items proposed for permanent retention and 155 new items proposed for disposal. These new items are for records created in DOE's environmental management program and consist of six major categories, i.e., administration, regulatory compliance, permitting, monitoring, sampling and analysis and disposal/cleanup.

Records proposed for permanent retention document the administration of the agency's programs supporting compliance with Federal environmental laws and implementing regulations. Permanent records consist of such items as significant archaeological records of Native Americans, environmental reports, public involvement records, project case files, environmental impact statements, environmental assessment records, categorical exclusion records, RCRA permits, post closure plans, designation/means of disposal, and waste disposal characterizations records. These records are recommended for permanent retention because they document agency policy and procedures for complying with environmental laws and implementing regulations, including, but not limited to the Resource Conservation, and Liability Act of 1976 (RCRA), the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), and the National Environmental Policy Act (NEPA). The records contain unique information of historical, evidential, and legal value.

Other less significant records in this job are proposed for disposal and request a range of retentions (1 to 75 years) depending on the level of importance, DOE's business needs, and the anticipated legal rights and interests of DOE employees and contractors. Disposable records include files on routine and facilitative administrative records, long-term temporary records related to health, safety, and exposure, and safety and health records maintained as permanent by other agencies.

All internal comments and issues were incorporated or resolved. This job was published in the *Federal Register*. Two requests were received (Peter Allen of Chatham, NJ and Michael Tankersley of Public Citizen Litigation Group). We received comments from Michael Tankersley on six items. Three of the items were withdrawn and have been crossed off of this schedule, i.e. items 1d(4), 1d(9) and 1k(1). Records included in these items require evaluation and analyses by DOE subject area experts. Upon review of the findings, DOE will resubmit these items on a new schedule. I recommend approval of this job.

**RECOMMENDATION**

- ☒ 1 APPROVED FOR DISPOSAL. The records described under all items of the schedule, except those that may be listed in blocks 2, 3, and 4 of this section, are disposable because they do not, or will not after the lapse of the period specified, have sufficient administrative, legal, research or other value to warrant their continued preservation by the Government.
- ☒ 2 APPROVED FOR PERMANENT RETENTION. The records described under the following item or items have been appraised by the National Archives and Records Administration (NARA) and are determined to have sufficient historical or other value to warrant their continued preservation by the United States Government. The agency will transfer these records to the National Archives as specified. **Items: 1c, 1d(1), 1d(8)(b), 1d(10)(a), 1i, 1k(2)(a), 2f(1)(a), 2f(2)(a), 2f(3)(a), 3b(1)(a), and 3d(2)**
- ☒ 3 DISPOSITION NOT APPROVED. The records described under the following item or items are not approved for disposition.
- ☒ 4 WITHDRAWN. The records described under the following item or items have been withdrawn at the request of the agency and/or NARA. **Items: 1b(4), 1d(9), and 1k(1)**

**FEDERAL REGISTER NOTICE**

☐

Not required.

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Required — Publication Date 4/15/99

Copies Requested 2

Comments Received: 1

SIGNATURES	TITLE	SIGNATURE	DATE
Appraisal <i>6/5/12 SLE</i>	Appraiser	<i>John B. Ellis</i>	May 11, 2000
	Director, NWML	<i>Mary B. Allen</i>	<i>May 16, 2000</i>
	NWM		
CONCURRENCES	NR	<i>Gregory A. Pomykala</i>	<i>May 18, 2000</i>
	NW	<i>Michael Kuyel</i>	<i>5-18-2000</i>